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UNITED STATES SPECIAL OPERATIONS COMMAND

21.2 Small Business Innovation Research (SBIR)

Direct to Phase II Proposal Submission Instructions

Introduction:

The United States Special Operations Command (USSOCOM) 21.2 Direct to Phase II proposal submission instructions cover Direct to Phase II proposals only and change/append the Department of Defense (DoD) instructions for Phase II submissions as they apply to USSOCOM Direct to Phase II requirements. The Government will evaluate only responsive proposals.

A thorough reading of the “Department of Defense Small Business Innovation Research (SBIR) Program, SBIR 21.2 Program Broad Agency Announcement (BAA)”, located at <https://rt.cto.mil/rtl-small-business-resources/sbir-sttr/>, prior to reading these USSOCOM instructions is highly recommended. These USSOCOM instructions explain certain unique aspects of the USSOCOM SBIR Program that differ from the DoD Announcement and its instructions. The Offeror is responsible for ensuring that their proposal complies with the requirements in the most current version of these instructions. Prior to submitting your proposal, please review the latest version of these instructions as they are subject to change before the submission deadline.

These USSOCOM instructions explain USSOCOM specific aspects that differ from the DoD Announcement and its instructions.

Table 1: Consolidated SBIR Topic Information

Topic	Technical Volume (Vol 2)	Additional Info. (Vol 5)	Period of Performance	Award Amount
<i>Direct to Phase II</i> SOCOM212-D003	Not to exceed 10 pages not including Feasibility Appendix	15-page PowerPoint	Typically 18 months	Not to Exceed \$2,775,917.00

Contract Awards:

SBIR awards for this Direct to Phase II topic will be awarded as a fixed price (level of effort type), Other Transactions Agreement (OTA). Successful completion of the prototype under an OTA may result in a follow-on production OTA or contract. Successful completion of the prototype is defined as meeting one or more threshold requirements. Firms may download the template at <https://www.socom.mil/SOF-ATL/Pages/SBIR-21-2.aspx>. The terms and conditions as well as the requirements are included in the OTA template provided in this solicitation. The terms and conditions of the Template OTA and the latest version of the OTA may be revised prior to execution. The document deliverables required for the effort are under attachment 2 of the OTA and the statement of objectives is under attachment 3 of the OTA template. Offerors must review these documents to develop their proposal.

The OTA template needs to be completed by only those Offerors selected for award and will be submitted directly to the Agreements Officer identified in the notification. Providing the completed OTA for those invited to present, is desirable but not required.

Those selected for award would be required to enter their company information, expected milestones (attachment 1), and provide a non-proprietary Statement of Work (SOW) following the format of the Statement of Objectives (SOO) (attachment 3).

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Proposal Submission:

Firms must upload their proposals to the Defense SBIR/STTR Innovation Portal Proposal Submissions at <https://www.dodsbirsttr.mil/submissions/login> . Additional USSOCOM specific submission requirements for each volume are detailed below.

USSOCOM does not provide Discretionary Technical and Business Assistance for Direct to Phase II awards.

Technical Inquiries:

During the Pre-release Period of the DoD SBIR 21.2 Program BAA, all questions must be submitted in writing either by e-mail to sbir@socom.mil or to the online DSIP Topic Q&A. All questions and answers submitted to DSIP Topic Q&A will be released to the general public. USSOCOM does not allow inquirers to communicate directly in any manner to the topic authors (differs from Section 4.13.c. of the DoD SBIR 21.2 Program BAA instructions). **All inquiries must include the topic number in the subject line of the e-mail.**

During the Open Period, follow the instructions in section 4.13.d of the DoD SBIR 21.2 Program BAA Instructions.

Site visits will not be permitted during the Pre-release and Open Periods of the DoD SBIR 21.2 Program BAA.

Proposal Volumes:

Volume 1: Cover Page is created as part of the DOD Proposal Submissions process.

Volume 2: Technical Volume

2.1 The Technical Volume shall not exceed 10 pages and will include all required items under section 5.4.c. of the DoD SBIR 21.2 instructions. Any additional pages will be deleted from the proposal prior to evaluation.

The technical proposal shall include a Statement of Work (SOW) with the planned tasks and descriptions to meet the Statement of Objectives (SOO) goals detailed in Attachments 3 of the OTA Template. Do not upload the whole SOO with your proposal. The SOO and CDRL are provided to help the Offerors consider the required goals, scope, and deliverables when developing the proposal, but it is an Offeror's responsibility to provide fully responsive, complete, and clear submissions. Exceptions to the requirements need to be identified/explained. The SOO, and CDRLs are provided in the OTA Template and can be downloaded from <https://www.socom.mil/SOF-ATL/Pages/SBIR-21-2.aspx>.

If an Offeror is selected for award, the Offeror will be required to submit a separate non-proprietary SOW with the planned tasks and descriptions from the proposal and all other applicable sections of the SOO and it shall include no proprietary information, data, or marking. The provided SOW will become Attachment 3 of the resulting OTA, incorporating any agreed upon changes if necessary.

Note: The Phase I feasibility Appendix (Appendix A) is required for the Direct to Phase II proposal and is specified in **Volume 5**.

Volume 3: Cost Volume

Offerors must complete the cost volume using the Phase II OTA Cost Proposal template posted on the USSOCOM Portal at <https://www.socom.mil/SOF-ATL/Pages/SBIR-21-2.aspx>, and read instructions before completing it. The Cost Proposal information (PDF format) shall be appended to and submitted in Volume 3. Those recommended for award shall submit the original cost proposal in Excel format.

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For the direct to Phase II topic in this announcement, the total price limit to provide a testable prototype is listed in table 1 titled “Consolidated SBIR Topic Information”. **Any proposal submitted with a total price above the provided limit will not be considered for award.**

The final negotiated price of a USSOCOM Phase II SBIR contract will result from a determination of price fairness and reasonableness commensurate with the magnitude and complexity of the required research and development effort. The resulting agreement will be a firm priced agreement.

Proposal information should include the itemized listing (a-h) specified below. The proposal information must include a level of detail that would enable the Government personnel to determine the purpose, necessity, and reasonability of the proposal and show an understanding of the scope of the work. It is requested that a breakdown of labor hours per labor category and other associated costs be provided by task. The Agreements Officer may request additional information to support price analysis or understand the approach if needed.

a. Special Tooling and Test Equipment and Material: The inclusion of equipment and materials will be carefully reviewed relative to need and appropriateness of the work proposed. The purchase of special tooling and test equipment must, in the opinion of the Contracting Officer, be advantageous to the Government and relate directly to the specific effort. They may include such items as innovative instrumentation and/or automatic test equipment. The reason for the requirement and the intention of offeror on disposition of the special material / equipment shall be documented in the proposal as well as the reason on why said equipment is charge directly to the effort rather than in the indirect cost of the business.

b. Direct Cost Materials: Justify costs for materials, parts, and supplies with an itemized list that includes item description, part number, quantities, and price.

c. Other Direct Costs: This category of costs includes specialized services such as machining or milling, special testing or analysis, and costs incurred in obtaining temporary use of specialized equipment. Proposals that include leased hardware must provide an adequate lease vs. purchase justification or rationale.

d. Direct Labor: For each individual, include the number of hours, and loaded rate to include all indirect costs. Identify key personnel by name if possible and labor category.

e. Travel: Travel costs must relate to the needs of the project. Proposed travel cost must be in accordance with the Federal Travel Regulation (FTR).

1. Per Diem Rates can be obtained at: <http://www.gsa.gov/perdiem>

2. The following information is documented –

(i) Date (estimated), length and place (city, town, or other similar designation) of the trip;

(ii) Purpose of the trip; and

(iii) Number of personnel included in the estimate.

f. Cost Sharing: Cost sharing is permitted. However, cost sharing is not required, nor will it be an evaluation factor in the consideration of a proposal. Please note that cost share contracts do not allow fees/profit.

g. Subcontracts: Involvement of university or other consultants in the planning and/or research stages of the project may be appropriate. If the Offeror intends such involvement, describe in detail and include

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information in the cost proposal. The proposed total of all consultant fees, facility leases or usage fees, and other subcontract or purchase agreements may not exceed one-half of the total contract price or cost, unless otherwise approved in writing by the Agreements Officer.

Support subcontract costs with copies of the subcontract agreements. The supporting agreement documents must adequately describe the work to be performed (i.e., cost proposal) or provide a statement of work with a corresponding detailed proposal for each planned subcontract.

h. Consultants: Provide a separate agreement letter for each consultant. The letter should briefly state what service or assistance will be provided, the number of hours required and hourly rate.

Volume 4: Company Commercialization Report

CCR is required to be submitted with proposals in response to USSOCOM 21.2 SBIR topics. Please refer to the DoD 21.2 SBIR BAA for full details.

Volume 5: Supporting Documents

Include the Feasibility Study, section K and Slide deck in this volume.

Slide Deck: Potential Offerors shall submit a slide deck with the proposed technical solution not to exceed 15 PowerPoint slides. Must be separate and clearly marked. Any additional slides will not be evaluated, only slide 1-15 will be evaluated.

Feasibility Study: Offerors must provide documentation to satisfy the Phase I feasibility requirement as specified in the direct to Phase II topic. The documentation shall be included as a Feasibility Appendix in this volume. Offerors are required to provide sufficient information to determine, to the extent possible, the scientific, technical, and commercial merit and feasibility of ideas submitted, and that the feasibility assessment was performed by the Offeror and/or the Principal Investigator. **If the Offeror fails to demonstrate the scientific and technical merit, feasibility, and/or the source of the work, USSOCOM will not continue to evaluate the Offeror's proposal.** Refer to the topic's Phase I description under the Direct to Phase II topic to review the minimum requirements needed to demonstrate feasibility. There is no minimum or maximum page limitation for the Feasibility Appendix (Appendix A).

Section K: The proposal must also include a completed Section K which does not count toward the page limit and should be uploaded with this volume. The identification of foreign national involvement in a USSOCOM SBIR topic is required to determine if a firm is ineligible for award on a USSOCOM topic that falls within the parameters of the United States Munitions List, Part 121 of the International Traffic in Arms Regulation (ITAR). A firm employing a foreign national(s) (as defined in paragraph 3.7 entitled "Foreign Nationals" of the DoD SBIR 21.2 Announcement) to work on a USSOCOM ITAR topic must possess an export license to receive a SBIR Phase II contract.

Volume 6: Fraud, Waste and Abuse Training

Fraud, Waste and Abuse (FWA) training is required for Phase I and Direct to Phase II proposals. Please refer to the DoD 21.2 SBIR BAA for full details.

Direct to Phase II Evaluations:

The Government will evaluate only responsive proposals.

USSOCOM evaluates Direct to Phase II proposals using the evaluation criteria specified in section 7.4 of the DoD 21.2 SBIR Announcement with the following exceptions:

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1. Proposals missing technical volume, feasibility appendix, cost volume, or slide deck will not be evaluated or those that exceed the maximum price allowed as per Table 1 of this instructions. Those proposals will be considered non-responsive.
2. Feasibility determination. The Feasibility Appendix to the Phase II proposal will be evaluated first to determine that the Offerors demonstrated they have completed research and development to establish the feasibility of the proposed Phase II effort based on the criteria outlined in the topic description of Phase I. **USSOCOM will not continue evaluating the Offeror's related Phase II proposal if it determines that the Offeror failed to demonstrate that feasibility** has been established **or** the Offeror failed to demonstrate work submitted in the feasibility documentation was substantially performed by the Offeror and/or the Principal Investigator. Refer to the Phase I Topic description included in the Direct to Phase II topic to review the minimum requirements that need to be demonstrated in the feasibility documentation.
3. The technical evaluation will utilize the Evaluation Criteria provided in Section 7.4 of the DoD SBIR 21.2 BAA. The Technical Volume and slide deck will be reviewed holistically. The technical evaluation is performed in two parts:

Part I: The evaluation of the Technical Volume will utilize the Evaluation Criteria provided in Section 7.4 of the DoD SBIR 21.2 BAA. Once the evaluations are completed, all Offerors will be notified as to whether they were selected to present their slide deck portion of their proposal.

Part II: Selected Offerors will receive an invitation to present their slide deck (30-minute presentation time / 30-minute question and answer) to the USSOCOM technical evaluation team, using a virtual teleconference. This will be a **technical presentation** of the proposed solution and the key personnel listed in the proposal should be conducting the presentation and responding to the questions of the evaluation team. This presentation is NOT intended as for business development people but purely technical. The technical approach and key personnel knowledge involved in the project will be considered. All selected firms will be required to provide teleconference information for the presentation. This presentation will complete the panel's evaluation of the proposal against the criteria listed under Section 7.4 of the DoD SBIR 21.2 BAA. Notifications of selection/non-selection for Phase II award will be completed within a timely manner.

4. The Cost Volume (Volume 3) evaluation:

For this direct to Phase II, the award amount is set at a not to exceed (NTE), a technical evaluation of the proposal cost will be completed to assess the probability of success to obtain a working prototype. Proposals above the set NTE for the effort will not be considered for award. The team will assess the technical approach presented for the effort based on the number of labor hours by labor categories, the key personnel level of involvement, materials, equipment, subcontractors and consultants (scope of work, expertise, participation and proposed effort), travel and other direct cost as proposed.

The resulting award/s will be a fixed price OTA prototyping agreement and a successful prototype may lead to follow on production. Follow on production awards may be FAR based, Fixed Price or Cost-Plus Fixed Fee contracts. A Defense Contracts Audit Agency approved accounting system will be required to issue a Cost-Plus Fixed Fee contract.

Additionally, input on technical aspects of the proposals may be solicited by USSOCOM from non-Government consultants and advisors who are bound by appropriate non-disclosure requirements. Non-

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Government personnel will not establish final assessments of risk, rate, or rank Offeror's proposals. These advisors are expressly prohibited from competing for USSOCOM SBIR awards. All administrative support contractors, consultants, and advisors having access to any proprietary data will certify that they will not disclose any information pertaining to this announcement, including any submission, the identity of any submitters, or any other information relative to this announcement; and shall certify that they have no financial interest in any submission. Submissions and information received in response to this announcement constitutes the Offeror's permission to disclose that information to administrative support contractors and non-Government consultants and advisors.

Selection Notifications:

The USSOCOM Contracting Officer notifies the Offeror by e-mail of selection/non-selection for award. The e-mail notification will only be sent to the Corporate Official (Business) identified by the Offeror. The Government will also notify the Offerors if their proposal is considered non-responsive (disqualified).

Informal Feedback:

A non-selected Offeror can make a written request to the Contracting Officer, within 30 calendar days of receipt of notification of non-selection, for informal feedback. The Contracting Officer will provide informal feedback after receipt of an Offeror's written request rather than a debriefing as specified in paragraph 4.10, entitled "Debriefing," of the DoD SBIR 21.2 Announcement.

USSOCOM SBIR Program Point of Contact:

Inquiries concerning the USSOCOM SBIR Program and these proposal preparation instructions should be addressed to sbir@socom.mil.

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USSOCOM 21.2 SBIR DIRECT TO PHASE II TOPIC INDEX

SOCOM212-D003

Stand-Off Precision Guided Weapon Program Cruise Missile

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SOCOM212-D003 TITLE: Stand-Off Precision Guided Weapon Program Cruise Missile

RT&L FOCUS AREA(S): Hypersonics; General Warfighting Requirements (GWR)

TECHNOLOGY AREA(S): Weapons

The technology within this topic is restricted under the International Traffic in Arms Regulation (ITAR), 22 CFR Parts 120-130, which controls the export and import of defense-related material and services, including export of sensitive technical data, or the Export Administration Regulation (EAR), 15 CFR Parts 730-774, which controls dual use items. Offerors must disclose any proposed use of foreign nationals (FNs), their country(ies) of origin, the type of visa or work permit possessed, and the statement of work (SOW) tasks intended for accomplishment by the FN(s) in accordance with section 3.5 of the Announcement. Offerors are advised foreign nationals proposed to perform on this topic may be restricted due to the technical data under US Export Control Laws.

OBJECTIVE: The objective of this topic is to develop an innovative long-range cruise missile that will fit in the Common Launch Tube (CLT) and have a threshold range of 200 NM and an objective range greater than 400NM.

DESCRIPTION: Design a long-range cruise missile incorporated into a Common Launch Tube (CLT) with a threshold range of 200 NM and an objective range greater than 400NM. This system will include, at threshold, an EO/IR seeker and as an objective incorporate a multi-mode seeker package able to acquire and/or reacquire targets in flight. At threshold it shall have a removable payload section that can accept 13lbs of warhead or other desired payload (objective of 37 lbs), compatibility with an X-Net radio, electric propulsion, and an INS/GPS (M-Code) capability.

Key attributes include the long range, data link connection to Situational Awareness Data Link (SADL) (threshold) and SADL/Link-16 (objective), resilient GPS/INS to work in a denied GPS environment, a sensor capable of identifying targets once over the target area, and a payload to effect the target.

PHASE I: Conduct a feasibility study to assess what is in the art of the possible that satisfies the requirements specified in the above paragraph entitled "Description."

The objective of this USSOCOM Phase I SBIR effort is to conduct and document the results of a thorough feasibility study ("Technology Readiness Level 3") to investigate what is in the art of the possible within the given trade space that will satisfy a needed technology. The feasibility study should investigate all options that meet or exceed the minimum performance parameters specified in this write up. It should also address the risks and potential payoffs of the innovative technology options that are investigated and recommend the option that best achieves the objective of this technology pursuit. The funds obligated on the resulting Phase I SBIR contracts are to be used for the sole purpose of conducting a thorough feasibility study using scientific experiments and laboratory studies as necessary. Operational prototypes will not be developed with USSOCOM SBIR funds during Phase I feasibility studies. Operational prototypes developed with other than SBIR funds that are provided at the end of Phase I feasibility studies will not be considered in deciding what firm(s) will be selected for Phase II.

PHASE II: This system could be used in a broad range of military applications where a long-range weapon must fit in small space.

REFERENCES:

1. SOCOM Replenishing Precision-Guided Weapon Stockpiles;
<https://www.nationaldefensemagazine.org/articles/2018/5/11/socom-replenishing-precision-guided-weapon->

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stockpiles#:~:text=Dynetics%27%20standoff%20precision%2Dguided%20munition,systems%2C%20according%20to%20the%20company.&text=The%20kits%20will%20provide%20SOF,munitions%20and%20other%20weapon%20systems.

KEYWORDS: Extended Range; Weapons; Cruise Missile